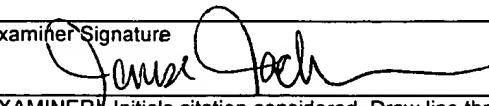


Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12221-005001	Application No.
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		S-1201 09/29/03 08/16/01	
		Applicant Marinus Frans Kaashoek et al.	
		Filing Date Herewith	Group Art Unit

<b>U.S. Patent Documents</b>							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

<b>Foreign Patent Documents or Published Foreign Patent Applications</b>							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	AJ						
	AK						
	AL						
	AM						
	AN						

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document
	AO	Steve Bellovin. DDoS Attacks and Pushback. NANOG21, Feb 18, 2001 <a href="http://www.aciri.org/pushback">http://www.aciri.org/pushback</a>
	AP	Ratul Manajan, Steven M. Bellovin, Sally Floyd, Vern Paxson, Scott Shenker, and John Ioannidis. Controlling High Bandwidth Aggregates in the Network. draft paper, Feb 2001. <a href="http://www.aciri.org/pushback">http://www.aciri.org/pushback</a>
	AQ	Stefan Savage, David Wetherall, Anna Karlin and Tom Anderson. Practical Network Support for IP Traceback. Proceedings of 2000 ACM SIGCOMM, Stockholm, Sweden, August 2000. <a href="http://www.cs.washington.edu/homes/savage/traceback.html">http://www.cs.washington.edu/homes/savage/traceback.html</a>
	AR	Steve Bellovin. ICMP Traceback Messages. AT&T Labs Research, Mar 2000. <a href="http://www.research.att.com/~smb/papers/draft-bellovin-itrace-00.txt">http://www.research.att.com/~smb/papers/draft-bellovin-itrace-00.txt</a>

Examiner Signature 	Date Considered 3/4/03
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12221-005001	Application No.
<b>Information Disclosure Statement</b> <b>by Applicant</b> <small>(Use several sheets if necessary)</small> <small>(37 CFR §1.98(b))</small>		Applicant Marinus Frans Kaashoek et al.		
		Filing Date Herewith	Group Art Unit	

### U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AS						
	AT						
	AU						
	AV						
	AW						
	AX						
	AY						
	AZ						
	AAA						

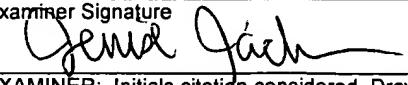
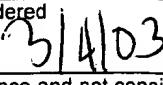
### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	ABB							
	ACC							
	ADD							
	AEE							
	AFF							

### Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AGG	Cisco. Characterizing and Tracing Packet Floods Using Cisco Routers. <a href="http://www.cisco.com/warp/public/707/22.html">http://www.cisco.com/warp/public/707/22.html</a>
	AHH	D. Senie. RFC2644 (BCP34), Changing the Default for Directed Broadcasts in Routers. IETF, August 1999. <a href="http://www.ietf.org/rfc/rfc2644.txt">http://www.ietf.org/rfc/rfc2644.txt</a>
	AII	P. Ferguson, D. Senie. RFC2827 (BCP38): Network Ingress Filtering: Defeating Denial of Service Attacks which employ IP Source Address Spoofing. IETF, May 2000. <a href="http://www.ietf.org/rfc/rfc2827.txt">http://www.ietf.org/rfc/rfc2827.txt</a>
	AJJ	David G. Andersen, Hari Balakrishnan, and M. Frans Kaashoek, Robert Morris. The Case for Resilient Overlay Networks. Proc. of HotOS-VIII, Schloss Elmau, Germany, May 2001. <a href="http://nms.lcs.mit.edu/papers/ron-hotos2001.pdf">http://nms.lcs.mit.edu/papers/ron-hotos2001.pdf</a>

### U.S. Patent Documents

Examiner Signature 	Date Considered 
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12221-005001	Application No.
<b>Information Disclosure Statement</b> <b>by Applicant</b> <small>(Use several sheets if necessary)</small> <small>(37 CFR §1.98(b))</small>		Applicant Marinus Frans Kaashoek et al.		
		Filing Date Herewith	Group Art Unit	

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AKK						
	ALL						
	AMM						
	ANN						
	AOO						
	APP						
	AQQ						
	ARR						
	ASS						
	ATT						

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
							Yes No
	AUU						
	AVV						
	AWW						
	AXX						
	AYY						

Other Documents (include Author, Title, Date, and Place of Publication)							
Examiner Initial	Desig. ID	Document					
<i>OF</i>	AZZ	Cisco. Web-Site Security and Denial-of-Service Protection. <a href="http://www.cisco.com/warp/public/cc/pd/si/11000/prodlt/cswsc_wi.htm">http://www.cisco.com/warp/public/cc/pd/si/11000/prodlt/cswsc_wi.htm</a>					
<i>OF</i>	AAAA	Analysis of a Denial of Service Attack on TCP" by Schuba et al Proceedings of the 1997 IEEE Symposium on Security and Privacy (IEEE Computer Society Press, May 1997					
<i>OF</i>	ABBB	Stefan Savage, David Wetherall, Anna Karlin and Tom Anderson. Practical Network Support for IP Traceback. Work in progress Technical Report UW-CSE-00-02-01. Date unknown. <a href="http://www.cs.washington.edu/homes/savage/traceback.html">http://www.cs.washington.edu/homes/savage/traceback.html</a>					
<i>OF</i>	ACCC	Web page entitled "Aggregate Based Congestion Control and Pushback" last modified April 2001 Found at <a href="http://www.aciri.org/pushback">http://www.aciri.org/pushback</a>					

### U.S. Patent Documents

Examiner Signature <i>Genuse Jack</i>	Date Considered <i>3/4/03</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12221-005001	Application No.
<b>Information Disclosure Statement</b> <b>by Applicant</b> <small>(Use several sheets if necessary)</small> <small>(37 CFR §1.98(b))</small>		Applicant	Marinus Frans Kaashoek et al.	
		Filing Date Herewith	Group Art Unit	

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	ADDD						
	AAAA						
	FFFF						
	AGGG						
	AHHH						
	AIII						
	AJJJ						
	AKKK						
	ALLL						

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
							Yes No
	AMMM						
	ANNN						
	AOOO						
	APPP						
	AQQQ						

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
JP	ARRR	D. Song et al., "Advanced and Authenticated Marking Schemes for IP Traceback", Proc. IEEE INFOCOM, April 2001, pp. 878-886.
JP	ASSS	R. Stone, "CenterTrack: An IP Overlay Network for Tracking DoS Floods", Proceedings of 9 <sup>th</sup> USENIX Security Symposium, Denver, CO, August 2000, pp. 199-212.
JP	ATTT	H. Burch et al., "Tracing Anonymous Packets to Their Approximate Source", Proc. USENIX LISA 00, December 2000, pp. 319-327.
	AUUU	

Examiner Signature <u>James Jack</u>	Date Considered 3/4/03
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12221-005001	Application No. 09/931,291
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Marinus Frans Kaashoek et al.		
		Filing Date August 16, 2001	Group Art Unit	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
OP	AA	5,796,942	8-18-98	Esbensen			
OPIE	AB	5,886,643	3-23-99	Diebboll et al.			TECHNOLOGY CENTER R3700
JAN 31 2002	AC	5,892,903	4-6-99	Klaus			
PC	AD	5,991,881	11-23-99	Conklin et al.			
PA	AE	6,088,804	7-11-00	Hill et al.			
PA	AF	6,108,782	8-22-00	Fletcher et al.			
	AG						
	AH						
	AI						
	AJ						
	AK						

RECEIVED

FEB 07 2002

Technology Center 2100

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
							Yes
	AL						
	AM						
	AN						
	AO						
	AP						

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
OP	AQ	"A System for Distributed Intrusion Detection", Snapp et al., Compcon Spring '91, Digest of Papers, Davis, CA, March 1991, pps 1 and 170-176.
	AR	
	AS	
	AT	

Examiner Signature <i>Glenn Jack</i>	Date Considered 3/3/04
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

RECEIVED

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12221-005001	Application No.
<b>Information Disclosure Statement</b> by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Marinus Frans Kaashoek et al.	
		Filing Date Herewith	Group Art Unit

08/16/01  
09/93 1201  
PRO

### U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
							Yes
	AJ						
	AK						
	AL						
	AM						
	AN						

### Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
<i>JP</i>	AO	Steve Bellovin. DDoS Attacks and Pushback. NANOG21, Feb 18, 2001 <a href="http://www.aciri.org/pushback">http://www.aciri.org/pushback</a>
	AP	Ratul Manajan, Steven M. Bellovin, Sally Floyd, Vern Paxson, Scott Shenker, and John Ioannidis. Controlling High Bandwidth Aggregates in the Network. draft paper, Feb 2001. <a href="http://www.aciri.org/pushback">http://www.aciri.org/pushback</a>
	AQ	Stefan Savage, David Wetherall, Anna Karlin and Tom Anderson. Practical Network Support for IP Traceback. Proceedings of 2000 ACM SIGCOMM, Stockholm, Sweden, August 2000. <a href="http://www.cs.washington.edu/homes/savage/traceback.html">http://www.cs.washington.edu/homes/savage/traceback.html</a>
<i>JP</i>	AR	Steve Bellovin. ICMP Traceback Messages. AT&T Labs Research, Mar 2000. <a href="http://www.research.att.com/~smb/papers/draft-bellovin-itrace-00.txt">http://www.research.att.com/~smb/papers/draft-bellovin-itrace-00.txt</a>

Examiner Signature <i>Janice Jack</i>	Date Considered <i>3/4/03</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

9  
 U.S. Department of Commerce  
 Patent and Trademark Office  
**Information Disclosure Statement  
 by Applicant**  
 (Use several sheets if necessary)  
 7.98(b))

Attorney's Docket No.  
 12221-005001

Application No.

Applicant  
 Marinus Frans Kaashoek et al.

Filing Date  
 Herewith

Group Art Unit

### U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AS						
	AT						
	AU						
	AV						
	AW						
	AX						
	AY						
	AZ						
	AAA						

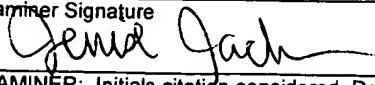
### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	ABB							
	ACC							
	ADD							
	AEE							
	AFF							

### Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
GG	AGG	Cisco. Characterizing and Tracing Packet Floods Using Cisco Routers. <a href="http://www.cisco.com/warp/public/707/22.html">http://www.cisco.com/warp/public/707/22.html</a>
	AHH	D. Senie. RFC2644 (BCP34), Changing the Default for Directed Broadcasts in Routers. IETF, August 1999. <a href="http://www.ietf.org/rfc/rfc2644.txt">http://www.ietf.org/rfc/rfc2644.txt</a>
	AII	P. Ferguson, D. Senie. RFC2827 (BCP38): Network Ingress Filtering: Defeating Denial of Service Attacks which employ IP Source Address Spoofing. IETF, May 2000. <a href="http://www.ietf.org/rfc/rfc2827.txt">http://www.ietf.org/rfc/rfc2827.txt</a>
JK	AJJ	David G. Andersen, Hari Balakrishnan, and M. Frans Kaashoek, Robert Morris. The Case for Resilient Overlay Networks. Proc. of HotOS-VIII, Schloss Elmau, Germany, May 2001. <a href="http://nms.lcs.mit.edu/papers/ron-hotos2001.pdf">http://nms.lcs.mit.edu/papers/ron-hotos2001.pdf</a>

### U.S. Patent Documents

Examiner Signature 	Date Considered 3/4/03
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
12221-005001

Application No.

Information Disclosure Statement  
by Applicant  
(Use several sheets if necessary)Applicant  
Marinus Frans Kaashoek et al.Filing Date  
Herewith

Group Art Unit

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AKK						
	ALL						
	AMM						
	ANN						
	AOO						
	APP						
	AQQ						
	ARR						
	ASS						
	ATT						

## Foreign Patent Documents or Published Foreign Patent Applications

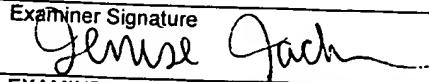
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AUU							
	AVV							
	AWW							
	AXX							
	AYY							

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AZZ	Cisco. Web-Site Security and Denial-of-Service Protection. <a href="http://www.cisco.com/warp/public/cc/pd/si/11000/prodlt/cswsc_wi.htm">http://www.cisco.com/warp/public/cc/pd/si/11000/prodlt/cswsc_wi.htm</a>
	AAAA	Analysis of a Denial of Service Attack on TCP" by Schuba et al Proceedings of the 1997 IEEE Symposium on Security and Privacy (IEEE Computer Society Press, May 1997
	ABBB	Stefan Savage, David Wetherall, Anna Karlin and Tom Anderson. Practical Network Support for IP Traceback. Work in progress Technical Report UW-CSE-00-02-01. Date unknown. <a href="http://www.cs.washington.edu/homes/savage/traceback.html">http://www.cs.washington.edu/homes/savage/traceback.html</a>
	ACCC	Web page entitled "Aggregate Based Congestion Control and Pushback" last modified April 2001 Found at <a href="http://www.aciri.org/pushback">http://www.aciri.org/pushback</a>

## U.S. Patent Documents

Examiner Signature



Date Considered

3/4/03

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

49

U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
12221-005001

Application No.

Information Disclosure Statement  
by Applicant  
(Use several sheets if necessary)Applicant  
Marinus Frans Kaashoek et al.

1.98(b))

Filing Date  
Herewith

Group Art Unit

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	ADDD						
	AEEE						
	AFFF						
	AGGG						
	AHHH						
	AIII						
	AJJJ						
	AKKK						
	ALLL						

## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AMMM							
	ANNN							
	AOOO							
	APPP							
	AQQQ							

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
gf	ARRR	D. Song et al., "Advanced and Authenticated Marking Schemes for IP Traceback", Proc. IEEE INFOCOM, April 2001, pp. 878-886.
gf	ASSS	R. Stone, "CenterTrack: An IP Overlay Network for Tracking DoS Floods", Proceedings of 9 <sup>th</sup> USENIX Security Symposium, Denver, CO, August 2000, pp. 199-212.
gf	ATTT	H. Burch et al., "Tracing Anonymous Packets to Their Approximate Source", Proc. USENIX LISA 00, December 2000, pp. 319-327.
	AUUU	

Examiner Signature

*Genia Jard*

Date Considered

*3/4/03*

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.